

# **CHAPTER 12**

## **PROJECT MONITORING**

# PURPOSE OF MONITORING

**Monitoring by the CDBG Project Liaison** -- by means of on-site visits and other regular contacts -- **is done to provide technical assistance and to determine whether a grant recipient is:**

- ◆ in compliance with state and federal laws and program requirements
- ◆ carrying out CDBG activities as called for by the contract and the CDBG Grant Administration Manual
- ◆ carrying out project activities in a timely manner
- ◆ ensuring project costs are eligible uses of CDBG funds; and
- ◆ proceeding in a manner that minimizes the opportunity for fraud, waste and mismanagement.

# ON-SITE PROJECT MONITORING

- **On-site monitoring** is a structured review of project records and activities conducted by CDBG staff -- at the location where project activities are being carried out and where project records are maintained.
- CDBG staff use **a formal monitoring checklist** that covers key requirements discussed in the manual. (**Exhibit 12-A, CDBG Project Monitoring Guide**)

## REGULAR MONITORING PRIOR TO THE ON-SITE VISIT

During the course of the CDBG project, the Department will monitor each local CDBG project **through regular telephone and e-mail contacts and written reports.**

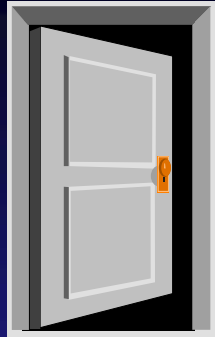
Project Managers are required to submit:

- ❑ **A Project Progress Report (Exhibit 4-F)** with each request for drawdown of funds; and
- ❑ **A Quarterly Update Report (Exhibit 4-N)** -- 15 days prior to the close of each quarter.
- ❑ **Regular Documentation of Compliance with Labor Standards** (weekly payroll reviews, employee interviews, etc.)

# REQUIREMENTS CHECKLISTS

- ❑ Exhibit 1-G -- Project Start-Up Checklist
- ❑ Exhibit 2-B.1 -- Abbreviated Environmental Checklist
- ❑ Exhibit 3-I -- Procurement Check List
- ❑ Exhibit 5-U -- Civil Rights Responsibilities Checklist
- ❑ Chapter 6, page 6-7 and following -- Labor Standards Responsibilities
- ❑ Exhibit 9-J -- Review of (draft) Construction Bid Solicitation Documents
- ❑ Exhibit 9-M -- Construction Management Checklist: Public Facility Construction and New Housing
- ❑ Exhibit 12-A -- CDBG Project Monitoring Guide
- ◆ Exhibit 13-A -- Project Completion Report Instructions Concern

# EXIT CONFERENCE



- Each on-site monitoring visit normally concludes with an exit conference.
- CDBG liaison discusses any issues he / she intends to address in written monitoring comments.
- The goal of the CDBG liaison is to assist recipients in achieving effective grant management -- every effort will be made to informally resolve or clarify minor monitoring concerns at this time.

# Monitoring Letter: Levels of Consideration

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- ☐ **Satisfactory Performance**
- ☐ **Concern** -- A modification of an administrative procedure or policy is suggested. **No response by local officials is required.**
- ☐ **Question of Performance** -- CDBG will **request additional information** in order to determine whether a violation of a statutory or regulatory requirement has occurred.
- ☐ **Finding** - - Proposed actions to correct the situation are required. **Grant recipient has 30 days to respond in writing.**